

**Responses to Questions  
Under Financial Assistance Opportunity Number  
DE-PS07-06ID14760**

**August 31, 2006**

**Question 1: In reference to Page 7, and detailed in Part III - Eligibility Information: Please clarify the meaning of an "FFRDC Contractor." Additionally, please reply to these specific questions if not answered by an FFRDC Contractor elaboration: Are all organizations who have maintained contracts for FFRDC's ineligible to submit a grant proposal? Is there a public list of FFRDC Contractors? Can FFRDC contractors be a sub-contractor to a grant applicant or be associated with the grant proposal?**

**Response 1:** Federally Funded Research and Development Centers (FFRDCs) contractors conduct research for the United States Government. Only current FFRDC contractors are ineligible to submit an application. A listing of FFRDC contractors as of May 2006 is located at <http://www.nsf.gov/statistics/nsf06316/>. A FFRDC contractor can be a sub-contractor or associated with the grant application. Of course, in accordance with 10 CFR 600.123(a)(5), labor and any associated charges for FFRDC participants cannot be included as cost share. In addition, FFRDC participants cannot be included in the requested funding but should be identified in the total award costs (see "*Cost Sharing, When DOE/NNSA Federally Funded Research And Development Center (FFRDC) Contractor Participates In Project And DOE/NNSA Pays FFRDC Contractor's Costs Directly*" and "*Direct Payment By DOE/NNSA Of Federally Funded Research And Development Center (FFRDC) Contractor Cost*" sections of the "Special Terms and Conditions for Use in Most Grants and Cooperative Agreements" document located at <http://grants.pr.doe.gov>.

**Question 2: Can FFRDC employees be used as key personnel?**

**Response 2:** The awardee's principal investigator, who is responsible for the deliverable, must be directly employed by the primary applicant and, therefore, cannot be a FFRDC employee. FFRDC employees can participate in the development of the deliverable. A FFRDC contractor can be a sub-contractor or associated with the grant application. Of course, in accordance with 10 CFR 600.123(a)(5), labor and any associated charges for FFRDC participants cannot be included as cost share. In addition, FFRDC participants cannot be included in the requested funding but should be identified in the total award costs (see "*Cost Sharing, When DOE/NNSA Federally Funded Research And Development Center (FFRDC) Contractor Participates In Project And DOE/NNSA Pays FFRDC Contractor's Costs Directly*" and "*Direct Payment By DOE/NNSA Of Federally Funded Research And Development Center (FFRDC) Contractor Cost*" sections of the "Special Terms and Conditions for Use in Most Grants and Cooperative Agreements" document located at <http://grants.pr.doe.gov>.

**Question 3: Some applicants have developed limited liability consortiums and may be unable to register at Grants.gov in time to submit their application. Is there some way that these entities can still apply?**

**Response 3:** While the Government encourages applicants to work towards getting the necessary information that will allow registration on Grants.gov as soon as possible, an applicant may use a consortium member's information to initially register and submit its application. Then, if selected for award, the entity would be required to submit an amended SF 424 and have its company registered through the Central Contractor Registration (CCR) database before award could be made. In addition, the applicant should indicate that it has submitted the application under a name different than that which will be used for award. This must be done by entering the actual applicants name in parenthesis in the "Division Name" field of the SF 424 such as (ABC Company, LLC).

**Question 4: Please provide a precise definition of "Federally Funded Research and Development Center (FFRDC) Contractors." Does this definition extend to any company who has performed contractual services for a FFRDC? If taken loosely this statement eliminates every company who has done work at a DOE facility (FFRDC).**

**Response 4:** The FFRDC restriction applies only to the current contractor. For instance, Battelle Energy Alliance, LLC, would not be able to submit an application as it is the FFRDC contractor for the Idaho National Laboratory.

**Question 5: Many DOE sites have ongoing characterization efforts underway. Will DOE allow evaluation of recent, supplemental data above and beyond Item 12, Regulatory and Permitting, as part of the siting study (e.g., seismic, hydrology/flooding, demographics, etc.)?**

**Response 5:** No, we are specifically looking for the regulatory and permitting data for DOE sites.

**Question 6: Does the SF-LLL disclosure of lobbying activities apply to all team members, including subawardees?**

**Response 6:** The requirement applies to the prime federal applicant, every applicant team member, and to every subgrantee/subcontractor. The prime federal applicant must submit to DOE (1) an original of the form it completes; and (2) copies of all other forms it receives from team members/subgrantees/subcontractors. Also see the "Lobbying Brochure" located under the Financial Assistance, Regulations and Guidance at <http://professionals.pr.doe.gov/> for additional information.

**Question 7: Does the SF-LLL disclosure of lobbying activities apply to lobbying activities that do not involve payment of funds?**

**Response 7:** No. Also see the "Lobbying Brochure" located under the Financial Assistance, Regulations and Guidance at <http://professionals.pr.doe.gov/> for additional information.

**Question 8: Does the SF-LLL require reporting of any funds deemed "non-reimbursable" or funds expended which are not derived from grant monies?**

**Response 8:** Yes. Also see the “Lobbying Brochure” located under the Financial Assistance, Regulations and Guidance at <http://professionals.pr.doe.gov/> for additional information.

**Question 9:** It is our understanding that Attachment 2, Siting Studies Reference Data Validation Form, is required to be completed as part of the application for each data source. It is our assumption that regulatory documents (e.g., Code of Federal Regulations, DOE Orders, NUREGs, regulatory guidance documents) will not require completion of the Attachment 2 Data Validation Forms, but that site-specific studies performed by, which will be used in the Detailed Site Report, will require Attachment 2 Data Validation Forms. Is this assumption correct?

**Response 9:** The assumption is correct. Regulatory documents do not require the data validation form.

**Question 10:** The Summary of Required Forms/Files lists a "Project Summary/Abstract" File as a required file, however Part IV, C does not list this as an application file. Is a Project Summary/Abstract required and if so what is the format for this document?

**Response 10:** In the FOA, under “The Summary of Required Forms/Files,” the File Name for the “Project Summary/Abstract” is listed as N/A (not applicable). No Project Summary/Abstract is required.

**Question 11:** Is a separate "Certifications and Assurances for Use with SF 424 File" required to be completed and submitted with the application for each team member, including subcontractors, or only the applicant?

**Response 11:** In the FOA, under “The Summary of Required Forms/Files,” the File Name for the “Certifications and Assurances for Use with SF 424 File” is listed as N/A (not applicable) as these will not be submitted separately. Instead, by checking the box “I Agree” under Block 21 of the SF 424 contained in the applicant package for this FOA, the applicant, representing either an individual or a consortium, agrees with the “Certifications and Assurances” listed on the “Applicants and Recipients” page at <http://grants.pr.doe.gov>.

**Question 12:** Should the siting study elements listed for Key Personnel Biographical Sketch File also include Regulatory and Permitting in addition to geology/seismology, biology, ecology, economics, sociology/demographics, meteorology/climatology, archeology/history, hydrology, environmental engineering and science, geography, and cartography?

**Response 12:** The instructions for the Biographical Sketch File, under Part IV of the Financial Assistance Opportunity Announcement, asks for a brief description of professional/academic positions. If regulatory and permitting work has been done under a professional position, it may be included in this section.

**Question 13: Can the applicant use a font size smaller than 11 point for tables and figures?**

**Response 13:** Yes, but no smaller than the equivalent of Arial 8 point or Times New Roman 10 and it must be legible. Tables and figures should be kept to a minimum.

**Question 14: Part IV, Section C, Summary of Required Forms/Files, specifies that an EPACT Representation file must be submitted if applicable. What are the applicability requirements for an EPACT Representation? Does a local community organization need to submit this representation?**

**Response:** In the FOA, under “The Summary of Required Forms/Files,” the File Name for the “EPACT Representation File” is listed as N/A (not applicable). No EPACT Representation is required.

**Question 15: Part IV, C, Summary of Required Forms/Files specifies a separate budget for a DOE FFRDC Contractor. We understand that DOE will pay the FFRDC contractor directly, but we think that the SF 424A (budget) should include the FFRDC costs on line F "Contractual" to shown the total cost of the project. Is this correct? We plan to break out the contractual costs in the Budget Justification (identify the various subawardees). If this is not correct, please explain how an applicant should provide budget information for an FFRD contract that will participate in the project.**

**Response 15:** In the FOA, under “The Summary of Required Forms/Files,” the File Name for the “Budget for DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractor File, if applicable” is listed as N/A (not applicable). FFRDC contractors are restricted from applying for this grant.

In accordance with “*Cost Sharing, When DOE/NNSA Federally Funded Research And Development Center (FFRDC) Contractor Participates In Project And DOE/NNSA Pays FFRDC Contractor’s Costs Directly*” and “*Direct Payment By DOE/NNSA Of Federally Funded Research And Development Center (FFRDC) Contractor Cost*” sections of the “Special Terms and Conditions for Use in Most Grants and Cooperative Agreements” document located at <http://grants.pr.doe.gov>, FFRDC contractor cost is not included in the total approved budget and, therefore, is not to be provided on the SF-424A. Instead FFRDC total cost in support of this effort should be submitted separately. This amount should be included in the authorization by the cognizant Contracting Officer for the FFRDC.

The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector.”

The applicant's cost share will be based on the total cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

The scope of work to be performed by the FFRDC contractor may not be more significant than the scope of work to be performed by the applicant.

**Question 16: Are 11 X 17 pages allowed, and if so, do they count as 1 page?**

**Response 16:** 11 x 17 pages are not allowed.

**Question 17: Are the costs associated with preparing a Siting Studies Reference Data Validation Form for each data source considered pre-award costs that can be charged to a resulting award, since this work is actually part of the siting effort and will be incurred within 90 days of the award (if awards are made by October 31, 2006)? Also, may we include such costs in the budget as our cost share (Non-Federal Funds)?"**

**Response 17:** No, award recipients may only charge pre-award costs if such costs would be reimbursable under the agreement if incurred after award. As the preparation of the Siting Studies Reference Data Validation (SSRDV) form is part of the application process, it would not be allowed as a pre-award cost. For the same reason, preparation of the SSRDV cannot be considered as cost share.

**Question 18: Does the table of contents and other front matter count in the 20 page limitation for the project narrative?**

**Response 18:** Yes, it will be included in the 20 pages.

**Question 19: We recently requested an EIN. However, when we tried to use the number in grants.gov, it would not accept it. Is there another form of identification that can be used in place of an EIN?**

**Response 19:** While the Government encourages applicants to work towards getting the necessary information that will allow registration on Grants.gov as soon as possible, an applicant may use a consortium member's information. The member must be registered at the Central Contractor Registration (CCR) database prior to registering at Grants.gov and will require a Data Universal Numbering System (DUNS) and an Employer Identification Number (EIN), Taxpayer Identification Number (TIN), or Social Security Number (SSN). If the applicant is selected for award, the entity would be required to submit an amended SF 424 and have its company register through CCR before award could be made. As the information tied to the DUNS will be automatically pulled into the SF 424 Application for Federal Assistance, the applicant should indicate that it has submitted the application under a different name by entering the actual applicants name in parenthesis in the "Division Name" field of the SF 424, such as (ABC Company, LLC).

**Question 20:** Will the Government consider allowing offeror's to submit a paper copy as a backup to the electronic submission to ensure that the response is received prior to the deadline? Our experience is that the grants.gov website has period where information submitted doesn't always reach the government.

**Response 20:** No, all applications must be submitted through Grants.gov. We do encourage each applicant to make sure they have followed the registration procedures for Grants.gov. We also suggest that, if there is a concern, the application be submitted prior to the September 7<sup>th</sup> due date.

**Question 21:** Do the key personnel need to be employees of the submitting entity? While this makes sense for the DOE sites, it is not necessarily realistic from a non-DOE site standpoint.

**Response 21:** The individual who will be listed as the awardee's principal investigator (PI) and part of the listed key personnel, is responsible for the deliverable. While it is not required that the PI be directly employed by the primary applicant, it is usually the norm. Other key personnel do not need to be employed by the submitting entity.

**Question 22:** The solicitation does not allow FFRDCs to submit a proposal; however, can an FFRDC be included as a team member in a teaming arrangement or as a subcontractor?"

**Response 22:** Yes.

**Question 23:** We have numerous letters from organizations and individuals that demonstrate stakeholder support. If we include these letters in the project narrative file, will they count in the 20 page limitation? If we include them as a separate attachment, will they be evaluated?

**Response 23:** Letters demonstrating stakeholder support may be included as a separate attachment and will not count towards the 20 page limitation. As stated in the FOA, each application will be evaluated against the criteria listed in Part V, paragraph A. For both non-DOE and DOE sites, "The relevance and extent of the Applicant's capability to identify stakeholder support or concerns with siting GNEP facilities at the proposed site" is listed as one of the criteria.

**Question 24:** The announcement requires that we submit a separate budget for each subaward that is estimated to be more than \$100,000. One of our subawardees will not provide us their indirect rate information because it is proprietary. They are willing to give us the total costs they are proposing and mail or email the backup data (completed budget form) to the contract specialist. Is this approach acceptable and if so how should we submit this information to the contract specialist?"

**Response 24:** Yes, this approach is acceptable. Indirect rates may be provided directly to the Contract Specialist by email to [surrusjk@id.doe.gov](mailto:surrusjk@id.doe.gov) or by mail to:

U.S. Department of Energy  
Idaho Operations Office  
Attn: Janet Surrusco  
1955 Fremont Avenue, MS 1221  
Idaho Falls, ID 83415

The entity providing the indirect rates should provide enough information in the cover letter for us to identify which application(s) this information relates.

**Question 25: Do the community letters of support have to be part of the 20 page narrative or can they be a separate attachment?**

**Response 25:** Community letters of support will not be counted as part of the 20 page narrative and should be submitted as a separate attachment.

**Question 26: Regarding page 12 of the announcement, paragraph 2, last sentence: "However, for the Detailed Site Report for DOE sites, completion of Item 12 will constitute the only deliverable to be provided by an awardee." Please clarify this statement in regards to an application and award for a DOE site. It seems contradictory to this FOA that Item 12 is the only deliverable for a DOE site.**

**Response 26:** DOE is specifically looking for the regulatory and permitting data for DOE sites. Should a DOE-site be selected for award, the only information that will be required to be provided in the Detailed Site Report will be the regulatory and permitting data as described in Item 12 of Attachment 1 – Report Requirements to this FOA.

**Question 27: Can we include the list of publications for key personnel as part of the project narrative discussion as opposed to placing it directly in the 2-page resume format?**

**Response 27:** No. Information regarding each individual designated as key personnel is to be contained in the 2-page resume.

**Question 28: Regarding the Grant Application Package and SF424 application form (in PureEdge viewer), please confirm that only the yellow-highlighted fields need to be completed.**

**Response 28:** In the SF 424 Application Form, fields with both an asterick (\*) next to the field name and by being highlighted in yellow are mandatory. The system will not let you move forward until an entry has been made in these fields. You should complete the non-mandatory fields, if applicable.

**Question 29: Regarding "Disclosure of Lobbying Activities (SF-LLL)" in the Grant Application Package, if a respondent does not have any Lobbying issues to disclose, is the SF-LLL form still required to be submitted? We do not see a way to mark "not applicable" on the form.**

**Response 29:** The SF-LLL form is optional. If you have no lobbying issues to disclose, you are not required to submit the form. Declining to submit the form will be understood by DOE that you have nothing to disclose.

**Question 30:** The Announcement states that as part of the submittal, we must include a completed “Siting Studies Reference Data Evaluation Form” which is included as Attachment 2 to the Opportunity Announcement. This appears to be requesting a specific document title, number, date, description, author, process used to qualify data, and preparer information. But it does not otherwise identify the type of document you are requesting. Is it the document that we plan to develop as part of our siting study? Is it a document that one of our team members may already have produced as part of some other siting study? If so, what kind of document are you suggesting we should already have produced and then reference in this proposal?

**Response:** Attachment 2 – Siting Studies Reference Data Evaluation Form, is to be completed to provide DOE information regarding the documents the applicant, should they be selected for award, will use to prepare the Detailed Site Report as described in Attachment 1 – Report Requirements. The documents you will use is at your discretion based on the type of site you are proposing, non-DOE or DOE. If you are proposing a non-DOE site then all items listed in Attachment 1 will be applicable. If you are proposing a DOE site, only the regulatory and permitting data, as described in Item 12 of Attachment 1, is applicable.